



THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Vincent GIGUERE et al.

Serial No.: 09/925,720

Filing Date: August 8, 2001

For: NON-HUMAN TRANSGENIC ANIMAL  
WHOSE GERM CELLS AND SOMATIC  
CELLS CONTAIN A KNOCKOUT  
MUTATION IN DNA ENCODING ORPHAN  
NUCLEAR RECEPTOR ERRalpha

Examiner: To Be Assigned

Group Art Unit: 1645

**PROSECUTION BY ASSIGNEE AND POWER OF ATTORNEY  
UNDER 37 C.F.R. § 3.71**

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

McGill University, the assignee of the entire right, title and interest in this patent application, under 37 C.F.R. § 3.71 hereby appoints:

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Mehran Arjomand (Reg No. 48,231)  
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E. Thomas Wheelock (Reg No. 28,825)  
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all of Morrison & Foerster LLP, 755 Page Mill Road, San Jose, California 94304-1018, telephone (650) 813-5600, to prosecute this application and transact all matters in the United States Patent and Trademark Office connected therewith, said appointment to be to the exclusion of the inventors and their attorneys in accordance with the provisions of 37 C.F.R. § 3.71 provided that if any one of said attorneys or agents ceases being affiliated with the law firm of Morrison & Foerster as partner, employee or of counsel, such attorney's or agent's appointment as attorney or agent and all powers derived therefrom shall terminate on the date such attorney or agent ceases being so affiliated.

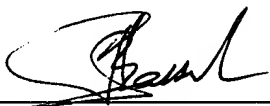
Please direct all written communications relative to this application to:

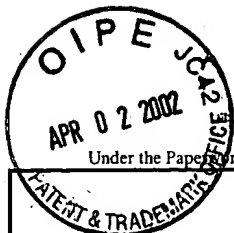
Gladys H. Monroy  
Morrison & Foerster LLP  
755 Page Mill Road  
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Please direct all telephone communications to Gladys H. Monroy at (650) 813-5711.

McGill University

Dated: March 5, 2002

  
Name: R.D. Brasserie  
Title: Associate Director, OTT  
Address: 3550 University St.  
Montreal, QC, Canada, H3A 2A7

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Vincent GIGUERE et al.

Application No./Patent No.: 09/925,720

Filed/Issue Date: August 8, 2001

Entitled: NON-HUMAN TRANSGENIC ANIMAL WHOSE GERM CELLS AND SOMATIC CELLS CONTAIN A KNOCKOUT MUTATION IN DNA ENCODING ORPHAN NUCLEAR RECEPTOR ERRalpha

McGill University

a

university

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_%

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
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3. From: \_\_\_\_\_ To: \_\_\_\_\_  
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Date

Print Name

Signature

26/02/2002

Title

ALEX NAVARRE, PHD, MBA

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending on the complexity of the information provided. The amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Attorney Docket No.: 514012000200

Client Reference: 760/12326.50

**COPY**

## ASSIGNMENT OF INVENTION

### UNIVERSAL

WHEREAS, I, 1) GIGUÈRE, Vincent) SLADEK, Robert 3) LUO, Jiang-  
Mingwhose full address is 1) 277, Querbes, Outremont, Quebec, Canada 2) 3659, Ste-  
Famille, Montreal, Quebec, H2X 2L5 Canada 3) 1626, North Elm Avenue, Marshfield,  
Wisconsin 54449

have invented certain improvements in NON-HUMAN TRANSGENIC MAMMAL WHOSE  
GERM CELLS AND SOMATIC CELLS CONTAIN A KNOCKOUT MUTATION IN DNA  
ENCODING ORGAN NUCLEAR RECEPTOR ERRA1pha

and described in US Provisional Application (serial number unavailable)  
filed on February 8, 1989

and:

WHEREAS MCGILL UNIVERSITY

whose full post office address is 845, Sherbrooke Street West, Montreal, Quebec, Canada  
H3A 1B1

(hereinafter referred to as the assignee), is desirous of acquiring the entire right, title and interest in and to said invention or inventions and in and to any and all patents to be obtained therefore;

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other valuable consideration, the receipt of which is hereby acknowledged, I/We have and by these presents do hereby sell, assign and transfer unto said assignee, its successors and assigns, the entire right, title and interest in and to said invention or inventions, as described in the aforesaid application, in any form or embodiment thereof, and in and to the aforesaid application; and in and to any applications filed in any foreign country based thereon, including the right to file said foreign applications under the provisions of the International Convention; also the entire right, title and interest in and to any and all patents, reissues or extensions thereof to be obtained in this or any foreign country upon said invention or inventions, and any divisional, continuation, continuation-in-part, substitute application(s) or supplementary disclosure(s) which may be filed upon said invention or inventions, in any country; and I/We hereby authorize and request the issuing authority to issue any and all patents on said application or applications to said assignee.

I/We further agree without any payment by said assignee other than expenses incurred by the undersigned, to communicate to said assignee, its representatives and agents, any facts relating to said invention or inventions, including evidence for interference purposes or for other proceedings, whenever requested; testify in any interference, litigation or other proceedings, whenever requested; and execute and deliver, on request, all lawful papers required to make any of the foregoing provisions effective, and likewise make these provisions binding upon my/our heirs, legal representatives, administrators and assigns.

Le(s) soussigné(s) désire(nt) que la présente cession soit en anglais. The undersigned request(s) that the present assignment be in English.

J2/24/99 18:26 FAX 843 1478

MOLECULAR ONCOLOGY

0003

Feb-24-99 18:40 From: GONDREAU GAGE OUBUC

T-018 P 03/05 F-2'S

**COPY**

IN WITNESS WHEREOF, I/We have hereunto set my/our hand(s) and seal this

24<sup>th</sup> day of FEBRUARY 1999

CHRISTINE MUTTER  
Witness Name (in print)

Christina Mutter  
Witness Signature  
Vincent Gagnon  
Signature of Vincent Gagnon

IN WITNESS WHEREOF, I/We have hereunto set my/our hand(s) and seal this

24<sup>th</sup> day of FEBRUARY 1999

CHRISTINE MUTTER  
Witness Name (in print)

Christina Mutter  
Witness Signature  
Robert Sladek  
Signature of Robert Sladek

IN WITNESS WHEREOF, I/We have hereunto set my/our hand(s) and seal this

24<sup>th</sup> day of February 1999

NAN PAN  
Witness Name (in print)

Nan Pan  
Witness Signature  
Jiang-Ming Luo  
Signature of Jiang-Ming Luo

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P. 03

COPY

## ASSIGNMENT

WHEREAS, Robert Sladek, whose principal office or place of business is Montreal  
Quebec, hereinafter hereinafter referred to as the "Assignor", is the co-owner of  
the United States Patent(s) or United States Patent Application(s) identified and set forth as  
Schedule "A" attached hereto (hereafter referred to as the "Patents").

WHEREAS, McGill University, a University Teaching Institution, the full post office address of  
whose principal office or place of business is 845 Sherbrooke Street West, Montréal, Québec,  
H3A 2T5, hereinafter referred to as the "Assignee" wishes to acquire the entire right, title and  
interest of Assignor in and to the Patents and the invention(s) covered thereby.

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which  
are hereby acknowledged, Assignor does hereby sell, assign and transfer to Assignee, its entire  
right, title and interest in and to the Patents, including any continuations, divisions,  
continuations-in-part, reissues, reexaminations or extensions or any foreign equivalents thereof  
and including the underlying invention as well as all claims which may be obtained therefrom,  
including all claims for damages by reason of present or future infringement or other  
unauthorized use of the Patents.

Assignor authorizes and requests the Commissioner of Patents and Trademarks to record  
Assignee as the assignee and owner of the Patents, including any continuations, divisions,  
continuations-in-part, reissues, reexaminations or extensions thereof, and to issue any and all  
patent thereon to Assignee, as assignee of the entire right, title and interest in, to and under the  
same, for the sole use and enjoyment of Assignee, its successors, assigns or other legal  
representatives.

IN TESTIMONY WHEREOF, the Assignor and Assignee have caused this Assignment to be  
signed and executed by the undersigned officers therein duly authorized this 25<sup>th</sup> day of  
February, 1999.

MCGILL UNIVERSITY

Robert Sladek

ROBERT SLADEK

By: [Signature]

Name:

Title:

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P. 05

**COPY****SCHEDULE "A"**

U.S. provisional patent, filed Feb. 5, 1999, "Non-human transgenic mammal whose germ cells and somatic cells contain a knockout mutation in DNA encoding orphan nuclear receptor ERR $\alpha$ ", inventors Vincent GIGUÈRE, Robert SLADEK and Jiang-Ming LUO, and corresponding to the invention in McGill Report of Invention #9899057 and all applications for United States or other foreign patents based on such patent(s) or applications(s), any patents granted on said United States or other foreign applications, and any continuations, continuations-in-part, divisions, patents or addition, reissues, reexaminations, or extensions of any of the foregoing, provides that McGill is the owner thereof.

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